# Patent Application Data Entry Format Guide for Preparing Bibliographic Data for Electronic Capture



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#### Paperwork Reduction Act Notice

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Notwithstanding any other provision of law, no person is required to respond to nor shall a person be subject to a penalty for failure to comply with a collection of information subject to the requirements of the Paperwork Reduction Act unless that collection of information displays a currently valid OMB control number.

#### R E V I S I O N S – Summary of Changes to Version 1

Version 1 of this Guide was widely distributed between April 1998, and October 1998. Based on suggestions and experience of applicants and PTO's review of the effectiveness of the OCR technology to read the Patent Data Entry Format sheets already submitted by applicants, it is prudent to make the modifications summarized here. While these modifications will improve accuracy, **previous Guide version labels will still be read.** 

- 1. <u>Appendix B</u> has been added to explain the nature of the Electronic Mail acknowledgment feature and the applicant permission needed for PTO to send it.
- 2. Under Inventor Information,

the label **State/Province::** 

has been changed to **State or Province::** 

the label State/Prov. Of Residence::

has been changed to **State or Prov. Of Residence::** 

the label Citizenship::

has been changed to Citizenship Country::

3. Under Correspondence Information,

the label **E-Mail::** 

has been changed to **Electronic Mail::** 

the label **State/Province::** 

has been changed to State or Province::

4. Under <u>Application Information</u>,

the label Formal Drawings::

has been changed to Formal Drawings?::

the label Licensed - U S Government Agency::

has been changed to Licensed US Govt. Agency::

the label Contract Number::

has been changed to Contract or Grant Numbers::

the label Grant Number::

has been deleted.

the label Secrecy Order in Parent Application::

has been changed to Secrecy Order in Parent Appl.?::

5. Under Continuity Information,

data for the label This Application is a::

the data value Claim benefit of

has been changed to Non Prov. of Provisional

(i)

# 6. <u>In all fields where a "Yes" or "No" answer</u> is required, the data values **Y** and **N** have been changed to **Yes** and **No**.

#### 7. In Appendix A,

the Recommended fonts have been changed to
Courier, Arial, and Univers
Not Recommended now includes
Times New Roman, Gothic

#### THE DATA ENTRY FORMAT

# Patent Application Data Entry Format

THE Patent Application Data Entry Format was designed to turn a customer's paper document into an electronic PTO data record. Image scanning and optical character recognition equipment promise more accurate data recording than our current method of manual data entry.

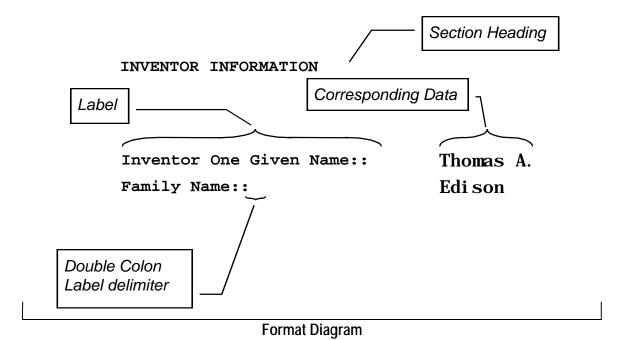
Using this format, initial information about a newly filed application may be entered, just as it is presented, directly into PTO information systems.

Customers using the **Patent Application Data Entry Format** can expect two

advantages when applying for a patent:

- Improved accuracy of filing receipts.
   The need for corrected filing receipts related to PTO errors will be significantly reduced.
- 2. Accurately recorded application data This will also reduce application prosecution delays.

Use of the format involves typing the "Section Heading," typing a specific "label" followed by a double colon "label delimiter", one or more tabs, and then the data corresponding to the label. See the Format Diagram below.



Version 2 12/11/98

For bibliographic information, the format includes six section headings:

# Inventor Information Correspondence Information Application Information Representative Information Continuity Information Prior Foreign Applications

Every applicant must supply the information listed in the first three sections: Inventor Information, some Correspondence Information and some Application Information. In many cases the Patent Data Entry Format will be complete with just this information.

Information identified in the Representative Information, Continuity Information and Prior Foreign Applications sections will not necessarily apply to all applications.

**NOTE:** Any section or label information which does not apply does not need to be listed.

#### INSTRUCTIONS

When preparing information in the Patent Application Data Entry Format, keep these points in mind:

- The only section headings and labels that must appear on your data format sheet are those for which you have corresponding data.
- Each section heading must be on a separate line.
- Each label must be on a separate line.
- Each line of information provided must have a label to the left. In other words, if a single piece of information, such as title requires multiple lines, each line must begin with its own label to the left.
- Section headings and labels must be typed exactly as designated in the format.
- Section headings and labels are not case sensitive. (i.e., All capital letters or initial capitals are permitted.)
- The corresponding data for each label must be limited to the maximum length stated in this Guide. This limit include spaces and punctuation.
- Typography, Document Format requirements and Paper Characteristics requirements are listed in Appendix A.

The next eight pages explain in detail the format elements and how each should be entered.

# **Inventor Information**

Identify each

with a separate, consecutive number starting with "One." i.e.: Inventor One ... Inventor Two ...

When the inventor is not named in a non-provisional application, an alphanumeric identifier should be entered as the family name of Inventor One.

The postal address requested here is the location where the inventor receives mail. This address might be the same as the correspondence address. However, both are separate pieces of information.

This information needs to be provided ONLY if it is different from the inventor's postal address information.

When these 3 labels are omitted, the inventor's residence will be presumed to be the city, state and country listed in the postal address information.

Inventor One Given Name:: No more than 50 characters

Family Name:: No more than 50 characters

Name Suffix:: No more than 10 characters ~

Postal Address Line One:: No more than 50 characters

Postal Address Line Two:: No more than 50 characters

City:: No more than 40 characters

State or Province:: No more than 50 characters

Country:: No more than 50 characters

Postal or Zip Code:: No more than 20 characters

City of Residence:: No more than 40 characters

**State or Prov. of Residence::** No more than 50 characters

Country of Residence:: No more than 50 characters

Citizenship Country:: No more than 50 characters

A **Given Name** refers to any or all names except for the last name or surname. Include a middle name or initial on this line, if desired.

A **Family Name** is the last name or surname.

A **Name Suffix** is an optional generational term added to the last name, such as Jr., Sr., III, etc.

If the inventor receives mail in the U.S. or Canada, type the 2-character State or 3-character Province abbreviation used when mailing a letter. <u>Do not use this field for any other country.</u>

If the inventor receives mail in a country other than the U.S., type the country name. This is not needed for U.S. addressees.

If the inventor receives mail in the U.S. or Canada, type the 2-character State or 3-character province abbreviation used when mailing a letter. Do not use this field for any other country.

If the inventor is a resident of a country other than the U.S., type the country name. This is not needed for U.S. addresses.

For United States, type US. For countries other than the US, type the country name.

#### Inventor Information format continued ...

#### **Inventor Information** (continued from page 3)

When someone other than the inventor is filing the application, the following information must <u>also</u> be provided. This information <u>should immediately follow</u> the inventor information for whom the <u>applicant</u> is filing (outlined on page 3).

If you are filing the application and you are not the inventor, type your name after the Given Name of Applicant and Family Name labels. Type one and only one of these three labels followed by your authority code. It is important that the Applicant information immediately follow the **Inventor** 

information on

filed.

whose behalf the

application is being

Given Name of Applicant::

No more than 50 characters

No more than 50 characters

No more than 50 characters

No more than 10 characters

Authority Under 1.42::

or

Authority Under 1.43::

or

2 numbers only

2 numbers only

or

2 numbers only

No more than 40 characters

**Authority Under 1.47::** 

City of Residence::

Postal Address Line One::

No more than 50 characters

No more than 50 characters

No more than 40 characters

State or Province::

No more than 50 characters

No more than 50 characters

No more than 50 characters

Postal or Zip Code:: No more than 20 characters

State or Prov. of Residence::

No more than 50 characters

No more than 50 characters

Citizenship Country:: No more than 50 characters

The term **Applicant** as used in this section refers to a person who is not the inventor and is filing the application on behalf of the inventor under 42 U.S.C. 2457(a)(2), or 35 U.S.C. 117 or 35 U.S.C.118.

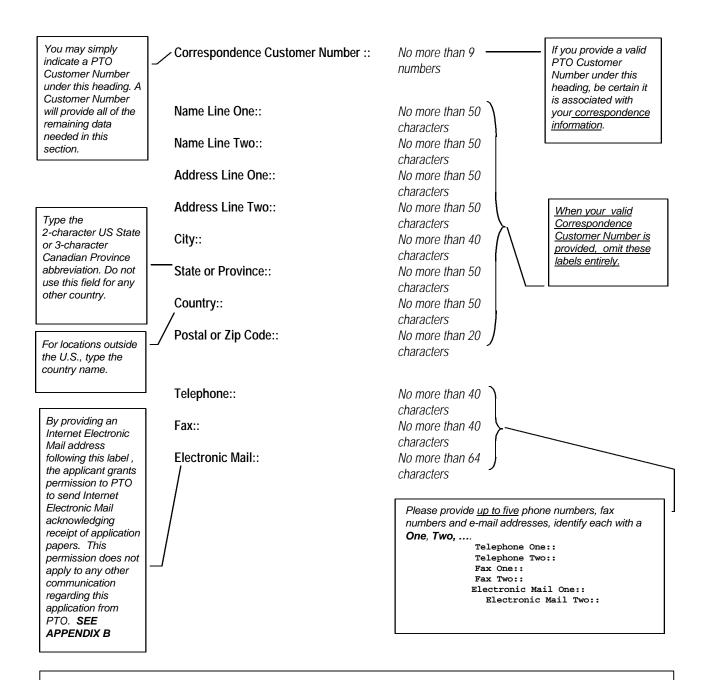
The Applicant's Authority is indicated with a two character code. The code is used to identify the authority by which a party, other than the inventor, may file the application.

Valid Applicant Authority Codes are:

02 - Administrator of NASA 08 - Party of Interest under 35 U.S.C. 118

11 - Legal Representative under 35 U.S.C. 117

## **Correspondence Information**



NOTE: For information concerning the Customer Number practice, see the notice "Extension of the Payor Number Practice (Through Customer Numbers) to matters Involving Pending Patent Applications," published in the *Federal Register* at 61 *Fed. Reg.* 54622 (October 21, 1996), and in the *Official Gazette* at 1191 *Off. Gaz Pat. Office* 187 (October 29, 1996).

# **Application Information**

Type the invention title on up to 7 lines. The PTO system will capture 280 total characters including Title Line One:: No more than 40 characters spaces and punctuation. Label Title Line Two:: No more than 40 characters each line as shown Identify each Title here. Title Line Three:: No more than 40 characters Line with a separate, consecutive number Title Line Four:: No more than 40 characters starting with "One." Title Line Five:: No more than 40 characters Title Line One:: Title Line Two:: Title Line Six:: No more than 40 characters Enter the total number of Title Line Seven:: No more than 40 characters sheets of drawings as a numeral **Total Drawing Sheets::** No more than 4 numbers Formal Drawings?:: No more than 3 characters' Identify your Type Yes or No. application as one When total number of the following of drawings sheets Application Type:: No more than 40 characters are given, indicate if Application Types: they are formal. - Utility Docket Number:: No more than 12 characters - Design - Plant Docket Number - Provisional refers to any application identifier If your Application is not more than 12 a Reissue, type: characters long, - Utility Reissue which is assigned by the attorney or - Design Reissue agent or the - Plant Reissue inventor. Do not use this format for Reexamination **Applications** 

# **Application Information** (continued from page 6)

Identify each line of Contract or Grant Numbers with a separate, consecutive number starting with "One", "Two", ... as shown.

Multiple contract or grant numbers may be entered on each line separated by a ";". Do not split contract or grant numbers across 2 lines. **Licensed US Govt. Agency::**No more than 40 characters

Secrecy Order in Parent Appl.?::

**Contract or Grant Numbers One::** *No more than 40 characters* 

**Contract or Grant Numbers Two::** No more than 40 characters

Where a
Government
contractor retains
U.S. domestic patent
rights, the contractor
is required to include
the name of the U.S.
Government agency
and the Government
contract number or
grant number.
(See MPEP §10)

Rule 37 C.F.R. 5.2.

states that if an invention has been determined to be a matter of national security, the Commissioner of Patents & Trademarks has the right to keep the invention secret. Under the same rule, applicants are obligated to notify the Office of any related cases which the Commissioner has kept secret.

No more than 3 characters-

Type Yes or No.

# **Representative Information**

If a Customer
Number is not
indicated, identify
each
representative's
registration number
with separate,
consecutive number
starting with "One".
List up to 50
maximum.

If a Representative
Customer Number
is supplied, do not
provide any
individual
registration
numbers.

**Representative Customer Number::** No more than 9 numbers

**Registration Number One::**No more than 6 numbers

**Registration Number Two::**No more than 6 numbers

Your Customer Number will provide all of the data required under this heading. If you provide a valid PTO Customer Number here, be certain it is associated with your

<u>representative</u> <u>information</u>.

**NOTE:** For information concerning the Customer Number practice, see the notice "Extension of the Payor Number Practice (Through Customer Numbers) to matters Involving Pending Patent Applications," published in the *Federal Register* at 61 *Fed. Reg.* 54622 (October 21, 1996), and in the *Official Gazette* at 1191 *Off. Gaz Pat. Office* 187 (October 29, 1996).

# **Continuity Information**

Identify and Type only one of the following consecutively valid types: number each - Division of - Continuation of application starting with "One." - Continuation in part of - 371 of This application is a:: No more than 25 characters - Reissue of - Continuing Reissue of - Substitute for - Reexamination of - Non Prov. of Provisional > Application One:: Either 10 or 15 characters The greater-than symbol, ">" is used to indicate the Filing Date:: No more than 20 characters This entry may be 10 relationship a prior characters for a U.S. application has to Patent Number:: No more than 13 characters application (including the current provisional) or up to 15 (Not Applicable to Provisional) application. One characters for a PCT ">" symbol indicates one No more than 25 characters which is a:: generation prior. Use this label to indicate the Two symbols ">>" benefit claimed, from one of indicate two the following: generations prior, - Division of etc. Type the >> Application Two:: Either 10 or 15 characters - Continuation of symbols at the - Continuation in part of beginning of each Filing Date:: No more than 20 characters - File wrapper cont. of Application label. - 371 of Patent Number:: No more than 13 characters - Reissue of - Continuing Reissue of Use this label if a - Substitute for, parent application - Reexamination of - Non Prov. of Provisional claims the benefit of and which is a:: No more than 25 characters more than one application which is one generation prior. >> Application Three:: Either 10 or 15 characters You may type the date in Filing Date:: No more than 20 characters whatever format you are accustomed. Patent Number:: No more than 13 characters This application is a:: No more than 25 characters Use this label again if your application claims the benefit of more than one > Application Four:: Either 10 or 15 characters application which is one generation Filing Date:: No more than 20 characters prior. Patent Number:: No more than 13 characters

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#### **Continuity Information Example**

This application is a:: Continuation in Part of

> Application One:: 09/456, 789

Filing Date:: Aug. 15, 1999

which is a:: Continuation in Part of

>> Application Two:: 09/412, 345

Filing Date:: April 15, 1999

which is a:: Division of

>>> Application Three:: 09/234, 567

Filing Date:: December 13, 1989

Patent:: 6, 456, 789

This application is a:: Continuation in Part of

> Application Four:: 09/412, 348

Filing Date:: March 13, 1999

which is a:: Division of

 $\Rightarrow$  Application Five:: 09/234, 432

Filing Date:: October 22, 1998

Patent Number:: 6, 789, 456

and which is a:: Continuation of

>> Application Six:: 09/234, 100

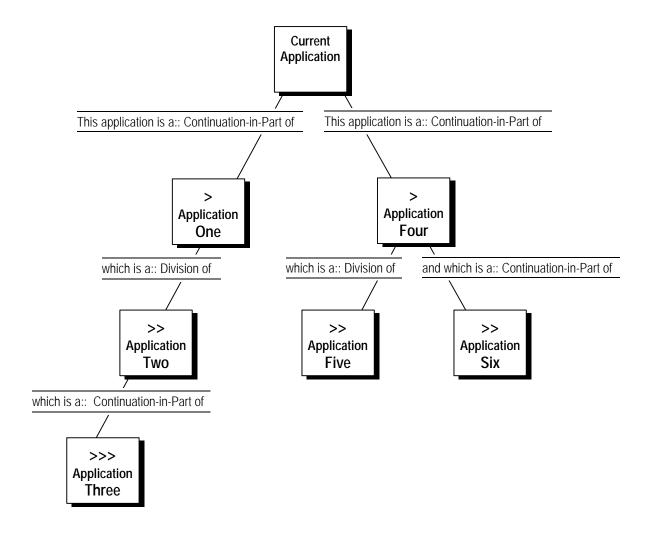
Filing Date:: June 11, 1998

#### Below is a diagram of the continuity example shown on page 9.

Applications One, Two and Three show one complete line of priority. Application Four begins two additional lines of priority, one completed with Five and the other with Six. Notice that Applications One and Four are linked to the Current Application with the same label, "This Application is a::." Notice that Applications Five and Six are linked to Application Four with different labels.

Five is linked using "which is a::" and Six is linked using "and which is a::."

Claiming benefit from a Provisional application is accomplished by indicating Non Prov. of Provisional after the label "This application is a::" and indicating the provisional application number following the "Application \_\_::" label. An example of claiming priority of a provisional application is included in the attached example 4 below.



# **Prior Foreign Applications**

Starting with Foreign Application One:: No more than 15 characters "One" identify each application Filing Date:: No more than 20 characters with separate, Type the name of the consecutive country. Country:: No more than 50 characters number. **Priority Claimed::** No more than 3 characters Type Yes or No. Foreign Application Two:: No more than 15 characters Filing Date:: No more than 20 characters Country:: No more than 50 characters You may type the date in **Priority Claimed::** No more than 3 characters whatever format you are accustomed.

#### DATA ENTRY FORMAT EXAMPLES

Initial Information Data Sheet Example 1 (Independent Inventor with Representation)

#### **Inventor Information**

Inventor One Given Name:: Maximillian

Family Name:: Katch

Postal Address Line One:: 716 My Place

Postal Address Line Two:: Apt. 3 City:: New York

State or Province:: NY
Postal or Zip Code:: 10013
Citizenship Country:: USA

#### **Correspondence Information**

Name Line One:: Mister Jones & Associates

Address Line One:: 875 Busy Avenue

Address Line Two:: Suite 740
City:: New York

State or Province:: NY
Postal or Zip Code:: 10012

Telephone:: (212) 555-9283 Fax:: (212) 555-4321

#### **Application Information**

Title Line One:: Handling and Eating Utensils for use with

Title Line Two:: Broiled or Sauteed Mussels and other Shellfish

Total Drawing Sheets:: 6
Formal Drawings?:: No
Application Type:: Utility

#### **Representative Information**

Registration Number One:: 99,001 Registration Number Two:: 99,412 Registration Number Three:: 99,998 Registration Number Four:: 99,123 Initial Information Data Sheet Example 2 (Independent Inventors without Representation and

one having a different postal address from residence)

INVENTOR INFORMATION

Inventor One Given Name:: Mach Family Name:: Speed Name Suffix:: Sr.

Postal Address Line One:: 415 Mappgas St. City:: Clevel and

State or Province::

Postal or Zip Code::

Citizenship Country::

Inventor Two Given Name::

Ethel
Family Name::

Propill

Postal Address Line One:: Oberstrasse 17/2a

Ci ty:: Ski eff

Country::

Postal or Zip Code::

City of Residence::

State or Prov. Of Residence::

Citizenship Country::

Austria

Zonas 143

Akron

OH

USA

CORRESPONDENCE INFORMATION

Name Line One:: Mach Speed

Address Line One:: 1220 North Long Drag Street

City:: Clevel and

State or Province:: OH
Postal or Zip Code:: 44121

Tel ephone: : (123) 555- 9876 Fax: : (123) 555- 1234

Electronic Mail:: gofast.car@post.com

APPLICATION INFORMATION

Title Line One:: Safety belt for a skate board

Total Drawings Sheets:: 4
Formal Drawings?:: Yes
Application Type:: utility
Docket Number:: d-724m/98

Initial Information Data Sheet Example 3 (Inventor with Representation)

\_\_\_\_\_

#### **Inventor Information**

Inventor One Given Name:: Les

Family Name:: Brainstrain

Postal Address Line One:: 415 Emcee Square

City:: Lincoln
State or Province:: NE
Postal or Zip Code:: 98765
Citizenship Country:: USA

**Correspondence Information** 

Correspondence Customer Number:: 999,999

**Application Information** 

Title Line One:: Device for Planting and Cultivation of

Title Line Two:: Corn and the Like Type Plants

Total Drawing Sheets:: 14
Formal Drawings?:: Yes
Application Type:: Utility

Docket Number:: 600031-CSC

**Representative Information** 

Registration Number:: 99,221

**Continuity Information** 

This application is a::

Application One::

Filing Date::

Continuation of 09/912,354

Jan. 22, 1998

#### **Initial Information Data Sheet** Example 4 (Multiple Inventors with Representation, Continuity and Priority)

#### Inventor Information

Inventor One Given Name:: D. James Family Name:: Hook

Postal Address Line One:: 1427 Peachpunch Street, N.W.

City:: Atlanta
State or Province:: GA
Postal or Zip Code:: 30329
Citizenship Country:: Canada

Inventor Two Given Name:: Edward Family Name:: Line

Postal Address Line One:: 427 West Front Street

Postal Address Line Two:: Apartment 32

City:: Detroit
State or Province:: MI
Postal or Zip Code:: 48217
Citizenship Country:: USA

Inventor Three Given Name:: David A. E. Family Name:: Sinker

Postal Address:: 274 Bradford Lane

City:: Bedford
Country:: England
Postal or Zip Code:: SG19 23B

Citizenship Country:: United Kingdom

#### Correspondence Information

Name Line One:: Sindey Peck

Name Line Two:: Foghorn & Leghorn

Address Line One:: Suite 400

Address Line Two:: 1062 Featherbrick Street, S.W.

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City:: Washington

State or Province:: DC

Postal or Zip Code:: 20013-1694 Telephone One:: (202) 555-6973 Telephone Two:: (301) 555-9283 Fax:: (202) 555-6794

Electronic Mail:: speckLd@eggs.com

#### **Application Information**

Title Line One:: Self Regulating Egg Timer Having Title Line Two:: Continuous Energy Replenishment

Total Drawing Sheets:: 18
Formal Drawings?:: Yes
Application Type:: Utility
Docket Number:: N16

#### Representative Information

Representative Customer Number:: 999,999

#### **Continuity Information**

This application is a:: Non Prov. of Provisional

> Application One:: 60/555,555 Filing Date:: 07-01-97

This application is a:: Continuation-in-Part of

> Application Two:: 09/536,983 Filing Date:: 08-12-97

which is a:: File Wrapper Cont. of

>> Application Three:: 09/346,273 Filing Date:: 04-23-96

which is a:: Divisional of >>> Application Four:: 09/102,810 Filing Date:: 10-04-1994

#### **Prior Foreign Applications**

Foreign Application One:: 4,235,671
Filing Date:: 10-05-93
Country:: Great Britain

Priority Claimed:: Yes

#### APPENDIX A

# Physical Characteristics of Documents Prepared in the Data Entry Format

THE following guidelines have been established to minimize errors in the scanning and text conversion of patent application information.

#### 1. Paper Characteristics

#### **General Requirements**

All sheets shall be:

- free from creases and cracks
- not be folded or rolled.
- free from erasures, alterations, and overwriting.
- printed on only one side of each sheet
- originals
- free from staple
- on white, copier or non-impact printer type paper
- printed or typed on in black ink.

#### **Specific Requirements**

#### Paper Size

Required: 8.5 x 11 inch or A4 (210 mm x 297 mm)

Not permitted: Legal (8.5 x 14 inch) or any other size

### 2. Typography used in documents

#### **General requirements**

The characters should be created with a word processor or typewriter. Hand written characters are not permitted.

#### **Specific requirements**

#### Font/Character size

Recommended: 12 point or larger

#### **Fonts**

Recommended: Courier, Arial, Univers

#### **Not Recommended:**

OCR-A, OCR-B,

Times New Roman, Gothic

#### Font Styles and Effects

Permitted: All capitals, upper and lower case, Bold.

**Not permitted:** Italic, small capitals, single or double underlining, strikeout, no shading or highlighting, reverse or negative printing.

#### **Special Characters**

Greek characters, mathematical characters, superscripts and subscripts are not permitted, except in the Title.

#### NOTE:

- The numeral key "1" should be used for the number "one", and the letter key "1" should be used for the letter "ell."
- The letter key "O" should be used for the letter "O" and the numeral key "O" should be used for the numeric zero.
- The "@" symbol is required in an e-mail address.

#### 3. Document Format

#### Margins

#### 8.5 x 11 inch paper -

top: 1.25 inch (30 mm) left side: 1.0 inch (25 mm) right side: 0.75 inch (20 mm) bottom: 0.75 inch (20 mm)

#### A4 paper -

top: 30 mm (1.25 inch) left side: 25 mm (1.0 inch) right side: 20 mm (0.75 inch) bottom: 20 mm (0.75 inch)

#### Orientation

Required: Portrait - each page will be used in an upright position (i.e., short side at the top and bottom)

Not permitted: Landscape

#### Line Spacing

No less than single line spacing.

#### Hyphenation and Word Splitting

Hyphenations are permitted within a line, but not across lines. Word splitting at the end of a line by the use of hyphens is not permitted.

#### Page Numbering

All sheets shall be numbered in consecutive Arabic numerals. (e.g.: 1, 2, 3) Page numbers shall be located at the bottom center of each page.

#### Page Justification

All text will be left-justified. Right justification and full justification are not permitted.

#### 4. Other patent data entry sheet guidelines:

- No express mail stamps
- No extraneous typed or written information
- No line numbering
- No tables or spreadsheets

#### APPENDIX B

PTO will send, via Internet Electronic Mail, an acknowledgment letter indicating the Application Number, Mailroom date and Docket Number (if provided) if the e-mail address is indicated on the Data Entry Format sheet. **Note:** By providing an Electronic Mail address applicant implicitly authorizes PTO to send the acknowledgment letter but does not authorize PTO to use the Electronic Mail address for any other communication regarding the application. See the attached example of the acknowledgment letter below.

#### COURTESY ACKNOWLEDGMENT OF APPLICATION RECEIPT

Application Serial Number:	
Mailroom Date:	
Docket Number:	

Thank you for using the Patent Application Data Entry Format. The above identified application was received by the U.S. Patent and Trademark Office on the above date and has been imaged captured by the Patent Image Capture System. The above date does NOT represent that a filing date has been granted. A filing date receipt will be sent once an initial formalities examination of the application papers has been completed and all required parts of the application needed for granting of a filing date have been found to be present.

Date E-mailed		

**N.B.**: This is only a courtesy notice. PTO is under no obligation to send this notice. Failure by PTO to send such notice or non-receipt by applicant(s) shall have  $\underline{NO}$  effect on the rights and/or obligations of either PTO or applicant(s).

-21-